

US Department of Commerce
Patent and Trademark Office

Form PTO-1449 (Modified)

Atty. Docket No.:

002821.P001X

Application No.:

Not Yet Assigned

Applicant:

Jones et al

#4

Filing Date:

Concurrently Herewith

15525 U.S. P.
09/495982
02/01/00

US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub- Class	Filing Date
<i>JD</i>	08/24/82	4,346,442	Musmanno			
<i>JD</i>	03/15/83	4,376,978	Musmanno			
<i>JD</i>	06/24/86	4,597,046	Musmanno et al.			
<i>JD</i>	02/10/87	4,642,767	Lerner			
<i>JD</i>	03/31/92	5,101,353	Lupien et al	364	408	05/31/89
<i>JD</i>	06/30/92	5,126,936	Champion et al	364	408	09/01/89
<i>JD</i>	06/21/92	5,132,899	Fox	364	408	10/16/89
<i>JD</i>	09/15/92	5,148,365	Dembo	364	402	08/13/89
<i>JD</i>	06/22/93	5,222,019	Yoshino et al	364	408	10/03/91
<i>JD</i>	07/13/93	5,227,967	Bailey	364	408	03/20/89
<i>JD</i>	08/17/93	5,237,500	Perg et al	364	408	02/27/90
<i>JD</i>	11/28/95	5,471,575	Glansante	395	144	01/03/92
<i>JD</i>	10/08/96	5,563,783	Stolfo et al	364	408	04/04/95
<i>JD</i>	11/25/97	5,692,233	Garman	705	36	02/03/95
<i>JD</i>	07/01/98	5,784,696	Melnikoff	705	36	06/06/95
<i>JD</i>	11/24/98	5,839,804	Ho	312	223.2	06/22/97
<i>JD</i>	01/26/99	5,864,827	Wilson	705	35	06/27/97
<i>JD</i>	01/26/99	5,864,828	Atkins	705	36	08/27/91
<i>JD</i>	02/23/99	5,875,437	Atkins	705	40	04/15/97
<i>JD</i>	03/16/99	5,884,285	Atkins	705	36	01/16/92
<i>JD</i>	06/08/99	5,911,135	Atkins	705	36	04/16/91
<i>JD</i>	06/29/99	5,918,217	Maggioncalda et al.	705	36	12/10/97
<i>JD</i>	06/08/99	5,911,136	Atkins	705	36	03/26/97
<i>JD</i>	06/08/82	4,334,270	Towers			
<i>JD</i>	02/08/77	4,007,355	Moreno			
<i>JD</i>	10/10/72	3,697,693	Deschenes et al.			
<i>JD</i>	01/11/71	3,634,669	Soumas et al.			
<i>JD</i>	07/01/97	5,644,727	Atkins			
<i>JD</i>	01/26/88	4,722,055	Roberts			
<i>JD</i>	05/03/88	4,742,457	Leon et al.			
<i>JD</i>	06/21/88	4,752,877	Roberts et al.			
<i>JD</i>	09/27/88	4,774,663	Musmanno et al.			
<i>JD</i>	09/19/89	4,868,376	Lessin et al.			
<i>JD</i>	10/24/89	4,876,648	Lloyd			
<i>JD</i>	12/05/89	4,885,685	Wolfberg et al.			
<i>JD</i>	06/04/96	5,523,942	Tyler et al.	364	401	03/31/94
<i>JD</i>	06/18/91	5,025,138	Cuervo			
<i>JD</i>	01/07/97	5,592,379	Finfrock et al.	395	239	10/06/94

Examiner

Thomas A. Dyer

Date Considered

8/22/02

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	Applicant: Jones et al	
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<i>D</i>	03/20/90	4,910,676	Allredge			
<i>D</i>	12/31/96	5,590,037	Ryan et al.			
<i>D</i>	06/12/90	4,933,842	Durbin et al.			
<i>D</i>	01/29/91	4,989,141	Lyons et al.			
<i>D</i>	09/26/95	5,454,104	Steidlmayer et al.			
<i>D</i>	06/15/93	5,220,500	Baird et al.			
<i>D</i>	08/28/90	4,953,085	Atkins			
	05/03/88	4,742,457	Leon et al. <i>previous page</i>	364	408	08/27/85
	09/15/92	5,148,365	Dembo <i>previous page</i>	364	402	08/15/89
	07/13/93	5,227,967	Bailey <i>previous page</i>	364	408	03/20/89
	06/04/96	5,523,942	Tyler et al. <i>previous page</i>	364	401	03/31/94
	11/25/97	5,692,233	Garman <i>previous page</i>	705	36	02/03/95
	07/21/98	5,784,696	Melnikoff <i>previous page</i>	705	36	06/06/95

Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation
<i>D</i>	12/01/93	0 572 281 A1	Europe	G06F	15/30	Yes
<i>D</i>	02/29/96	WO 96/06402	PCT	G06F	17/60	Yes
<i>D</i>	10/08/98	WO 98/44444	PCT	G06F	19/00	Yes
<i>D</i>	04/02/98	WO 98/13776	PCT	G06F	17/60	Yes

Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

<i>D</i>	International Search Report; PCT/US 98/19920
<i>D</i>	International Search Report; PCT/US 98/19951
<i>D</i>	International Search Report; PCT/US 98/19952
<i>D</i>	International Search Report; PCT/US 98/20709
<i>D</i>	Nikolopoulos and Fellrath, "A Hybrid Expert System for Investment Advising", IEEE, 1994, pp. 1818-1820
<i>D</i>	Eggenschwiler and Gamma, "ET++SwapsManager: Using Object Technology in the Financial Engineering Domain", OOPSLA, 1992, pp. 166-177
<i>D</i>	Sharpe, "Asset Allocation: Management Style and Performance Measurement", The Journal of Portfolio Management, Winter, 1992, Vol. 18, Num. 2, pp. 1-14.
<i>D</i>	"Science and Technology", Business Week, October 7, 1985, p. 108. 3 pages "Financial Planner with Heres of Sil. can"
<i>D</i>	Fayette Hickox, "Information Technology, Learning about Artificial Intelligence", Institutional Investor, pp. 209-210, July, 1986.
<i>D</i>	Paul Lichtman, "Software: The Professional Plan", Lotus, November, 1986, pp. 121 & 140.
<i>D</i>	Daniel P. Wiener, "Software Packages for Investors", Fortune/1987 Investors Guide, pp. 185-188.

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Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)							
				Woodwell, "Automating Your Financial Portfolio", Second Edition, 1986.			
				The Funds Management Group, Inc., "Funds Allocation System", Software Update, pp. 1-9, No Date.			
				"FPS/Optimum, "The Extended Analysis Language for All Users", pp. 1-2, 1986.			
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				Schmerken, "Making Risk Analysis Easy As Alpha, Beta", Wall Street Computer Review, 1988, vol.5 #4, pp.8,10,12			
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				"1990 Buyer's Guide", Wall Street Computer Review, 1990, 23 pages			
				Pantazopoulos et al, "A Knowledge Based System for Evaluation of Option Pricing Algorithms", Computer Science Dept., Purdue University, 1998, pp.123-140			
				Tanaka et al., "Possibility Portfolio Selection", IEEE, 1995, pp.813-818			
				Bellity, "Optimisation Floue Appliquee Au Choix De Portefeuilles", CCF Recherche & Innovation, 1994, 8 pages			
				"Asset Allocation - One Step at a Time", Global Investor, March, 1997, 8 pages.			
				King, "Asymmetric risk measures and tracking models for portfolio optimization under uncertainty", J.C. Baltzer AG, 1993, pp.165-177			
				"InterFace Institutional Software + Data", Ibbotson Associates, Wall Street Computer Review, 1998, 4 pages			
				Edessess, Michael et al. "Scenario forecasting: Necessity, not choice." Journal of Portfolio Management, vol. 6 No. 3, pp. 10-15, Sprg 1980.			
				"Keeping Up With Technology: The 1991 Software Update" Trusts & Estates, pp. 34-67, Jun. 1991.			
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				"EnCorr Products and Services", downloaded from Website http://www.ibbotson.com , in July of 1998.			
				"Net Results TM, Your On-Line Financial Advisor", downloaded from Website http://www.isnetwork.com , in December of 1997.			
				Keyes, Jessica. "Expert Allocator: Tools for portfolio optimization." Pension Management, pp. 44-46, May 1996.			
				Paroush, Jacob. "Risk and wealth effects on efficient portfolio." Metroeconomica, vol. 26, No. 1-3, pp. 86-96, 1974.			
				Voros, J. "Portfolio analysis--An analytic derivation of the efficient portfolio frontier." European Journal of Operations Research, vol. 23, No. 3, pp. 294-300, Mar. 1986.			
Examiner Thomas A. Jiff				Date Considered 8/22/02			
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	Applicant: Jones et al	
	Filing Date: February 1, 2000	

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US Patent Documents

Examiner's Initials	Date	Document Number	Name	Class	Sub-Class	Filing Date
<i>DA</i>	07/27/99	5,930,774	Chennault	705	36	01/29/96
<i>DA</i>	08/03/99	5,933,815	Golden	705	35	05/01/95
<i>DA</i>	09/22/98	5,812,987	Luskin et al.	705	36	03/13/95
<i>DA</i>	09/08/98	5,806,049	Petruzzi	705	36	09/30/96
<i>DA</i>	03/16/99	5,884,283	Manos	705	30	09/05/96
<i>DA</i>	04/11/97	5,884,287	Edesess	705	36	04/11/97
<i>DA</i>	12/14/99	6,003,018	Michaud et al.	705	36	09/09/98
<i>DA</i>	10/06/98	5,819,238	Fernholz	705	36	12/13/96
<i>DA</i>	01/25/00	6,018,722	Ray et al.	705	36	06/19/97
<i>DA</i>	01/04/00	6,012,042	Black et al.	705	36	08/16/96
<i>DA</i>	11/16/99	5,987,433	Crapo	705	36	06/03/96
<i>DA</i>	01/04/00	6,012,043	Albright et al.	705	36	09/09/96
<i>DA</i>	03/03/87	4,648,037	Valentino	364	408	03/15/84
<i>DA</i>	07/27/99	5,930,775	McCauley et al.	705	38	01/14/97
<i>DA</i>	11/23/99	5,991,744	DiCresce	705	36	10/31/97
<i>DA</i>	11/16/99	5,987,434	Libman	705	36	06/10/96
<i>DA</i>	06/15/99	5,913,202	Motoyama	705	35	06/13/97
	12/31/96	5,590,037	Ryan et al. copy paper #4	395	204	09/17/93

Foreign Patent Documents

Examiner's Initials	Date	Document Number	Country	Class	Sub-Class	Translation
<i>DA</i>	02/04/99	WO 99/05625	PCT	G06F	17/60	
<i>DA</i>	12/03/98	WO 98/54666	PCT	G06F	17/60	
<i>DA</i>	04/01/99	WO 99/15985	PCT	G06F	15/30	
<i>DA</i>	05/06/99	WO 99/22323	PCT	G06F	17/60	
<i>DA</i>	02/21/91	WO 91/02326	PCT	G06F	15/24	

Examiner: <i>Thomas A. Dyer</i>	Date Considered: <i>8/22/02</i>
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 2

Complete if Known

Application Number	09/495,982
Filing Date	February 1, 2000
First Named Inventor	Christopher L. Jones et al.
Art Unit	3829
Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249728

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code ² (if known)			
D		US 5,553,212	09-03-1996	Etoh	
		US 5,799,287	08-25-1998	Dembo	
		US 5,907,801	05-25-1999	Albert	
		US 5,918,218	06-29-1999	Harris	
		US 5,978,778	11-02-1999	Oshaughnessy	
		US 6,012,044	01-04-2000	Maggioncalda	
		US 6,021,397	02-01-2000	Jones et al.	
		US 6,078,904	06-20-2000	Rebane	
		US 6,125,355	09-26-2000	Bekaert	
		US 6,275,814	08-14-2001	Giansante	
		US 6,292,787	09-18-2001	Scott	
		US 6,601,044	07-29-2003	Wallmain	

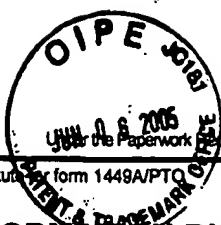
FOREIGN PATENT DOCUMENTS

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		Country Code ⁴ - Number ⁵ - Kind Code ⁶ (if known)				
D		JP 04-193658	07-21-92	Hitachi	Considered figures	
		JP 05-081202	08-04-93	OKI Electric Ind.		
		JP 05-177511	06-25-93	Nec Corp.		

Examiner Signature	<i>Thomas A. Dixon</i>	Date Considered	10/20/05
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citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 801.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PTO/SB/08b (05-03)

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Sheet 2 of 2**Complete if Known**

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Examiner Name	Thomas A. Dixon
Attorney Docket Number	59036-249728

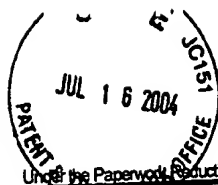
NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
<u>PD</u>		ANONYMOUS., "Interactive Software Eases 401(k) Planning." Bank Marketing. V26. No. 10. 1994; p.56.	
		AUTHOR UNKNOWN., "Interactive Variable Control During Visualization of Mathematical Functions." IBM Technical Disclosure Bulletin. Vol. 34. No. 9. 1992; pp.288-289.	
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		MURRAY, G.W. et al. "Practical Optimization." Academic Press. Chapter 5. 1981.	
<u>PD</u>		SOCIETY OF ACTUARIES., "1994 Group Annuity Mortality Table and 1994 Group Annuity Reserving Table." Vol. 47. 1994; pp. 865-913.	

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SignatureThomas A. DixonDate
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		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
JP	7	JP-HEI-6-35918	02/10/1994			No
	8	JP-HEI-6-295300	10/21/1994			No
	9	JP-HEI-7-84989	03/31/1995	NEC		No
JP	10	WO01/05793	01/25/2001	PHARMACIA		

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Date Considered

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Examiner Signature	Thomas A. O'S	Considered	
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Attorney Docket Number	59038-249728

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